

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy, Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter

Attorney's Docket No.: UWS 102

Serial No.: 09/226,044

Filed: January 5, 1999

For: *ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS*

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. §§ 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: University of Massachusetts

ADDRESS OF ORGANIZATION: 18 Tremont Street  
Suite 800  
Boston, Massachusetts 02108

TYPE OF ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE  
(26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE  
OF STATE OF THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE  
SERVICE CODE (26 USC 501(a) and 501(c)(3) IF LOCATED  
IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL  
UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
IF LOCATED IN THE UNITED STATES OF AMERICA

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled "*Enhanced Transport Using Membrane Disruptive Agents*" by Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy, Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter, described in

**"ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"**

By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed: January 5, 1999  
VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS

☐ the specification filed herewith.

☒ application serial no. 09/226,044, filed January 5, 1999.

☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. § 1.27).

NAME University of Washington

ADDRESS: 1107 N.E. 45<sup>th</sup> Street  
Seattle, Washington 98105-4631

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORG.

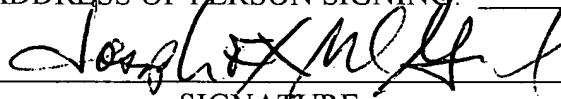
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Joseph F. X. McGuirl

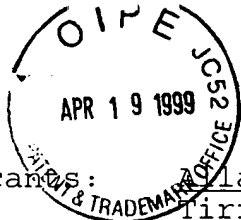
TITLE OF PERSON OTHER THAN OWNER: Executive Director CVIP

ADDRESS OF PERSON SIGNING: 365 Plantation Street, Suite 130, Worcester, MA 01605

  
SIGNATURE

April 06, 1999

DATE



CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Applicants: Alan S. Hoffman, Patrick Stayton, Oliver Press, David  
Tirrell, Niren Murthy, Chantal Lackey, Lawrence A. Crum,  
Pierre D. Mourad, and Tyrone M. Porter

Application No.: 09/226,044 Filed: January 5, 1999

For: ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS

University of Massachusetts a University  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above.  
The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_,  
Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above,  
to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplement sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and believe are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : April 06, 1999

Name : Joseph F. X. McGuire

Title : Executive Director CVIP

Signature : 

## ASSIGNMENT

I, David Tirrell of 714 Arden Road, Pasadena, California 91106, in consideration of Ten Dollars and other valuable consideration paid to me by University of Massachusetts, a corporation of Massachusetts, having its principal place of business at 18 Tremont Street, Suite 800, Boston, Massachusetts 02108, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said University of Massachusetts, its successors and assigns, the entire interest for the United States of America and its territories and all foreign countries and jurisdictions, including all rights of priority under the International Convention for the Protection of Industrial Property in a certain invention or improvement in "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS" described in U.S. Serial No. 09/226,044 filed in the United States Patent and Trademark Office on January 5, 1999, by Allan S. Hoffman, Patrick Stayton, Oliver W. Press, David Tirrell, Niren Murthy, Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad and Tyrone M. Porter, which claims priority to provisional application U.S. Serial No. 60/070,411 filed in the United States Patent and Trademark Office on January 5, 1998, by Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy, and Chantal Lackey, and in all Letters Patent of the United States and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuation, continuation-in-part, reissue or other applications based in whole or in part thereon. And I agree, for myself and my executor and administrator, with said corporation and its successors and assigns but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and its territories and in all other foreign countries and jurisdictions to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.



# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of

Los Angeles

SS.

On 6 April 1999, before me, Julie C. Hiroto, notary public,  
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared David Tirrell  
Name(s) of Signer(s)

- ☐ personally known to me  
☒ proved to me on the basis of satisfactory evidence

to be the person~~(s)~~ whose name~~(s)~~ ~~(is)~~  
subscribed to the within instrument and  
acknowledged to me that he~~/she/they~~ executed  
the same in ~~his/her/their~~ authorized  
capacity~~(ies)~~, and that by ~~his/her/their~~  
signature~~(s)~~ on the instrument the person~~(s)~~, or  
the entity upon behalf of which the person~~(s)~~  
acted, executed the instrument.



Place Notary Seal Above

WITNESS my hand and official seal.

Signature of Notary Public

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document: Assignment

Document Date: 6 April 1999 Number of Pages: two

Signer(s) Other Than Named Above: none

### Capacity(ies) Claimed by Signer

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer — Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney in Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER

Top of thumb here

APR 19 1999

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Applicant: Alan S. Hoffman, Patrick Stayton, Oliver Press, David  
Irrell, Niren Murthy, Chantal Lackey, Lawrence A. Crum,  
Pierre D. Mourad, and Tyrone M. Porter

Application No.: 09/226,044 Filed: January 5, 1999

For: ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS

University of Washington

(Name of Assignee)

a University

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above.  
The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_,  
Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above,  
to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplement sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

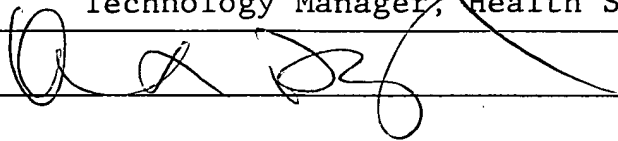
The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and believe are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : March 26, 1999

Name : Karen L. Deyerle, Ph.D.

Title : Technology Manager, Health Sciences

Signature : 

## ASSIGNMENT

We, Allan S. Hoffman of 7508 56<sup>th</sup> Avenue, N.E., Seattle, Washington 98115, Patrick Stayton of 8344 25<sup>th</sup> Avenue, N.W., Seattle, Washington 98117, Oliver W. Press of 11018 Exeter Avenue, N.E., Seattle, Washington 98125, Niren Murthy of 4131 11<sup>th</sup> Avenue, Apt. #303, Seattle, Washington 98105, Chantal Lackey of 8809 23<sup>rd</sup> Avenue, N.E., Apt. 3, Seattle, Washington 98118, Lawrence A. Crum of 4662 175<sup>th</sup> Avenue, S.E., Bellevue, Washington 98006, Pierre D. Mourad of 109 N.W. 49<sup>th</sup> Street, Seattle, Washington 98107, and Tyrone M. Porter of 4733 17<sup>th</sup> Avenue, N.E., Apt. #26, Seattle, Washington 98105, in consideration of Ten Dollars and other valuable consideration paid to us by the University of Washington, a Corporation of Washington, having its principal place of business at 1107 NE 45<sup>th</sup> Street, Seattle, Washington 98105-4631, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said University of Washington its successors and assigns, the entire interest for the United States of America and its territories and all foreign countries and jurisdictions including all rights of priority under the International Convention for the Protection of Industrial Property in a certain invention or improvement in "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS" described in U.S. Serial No. 09/226,044 filed in the United States Patent and Trademark Office on January 5, 1999, by Allan S. Hoffman, Patrick Stayton, Oliver W. Press, David Tirrell, Niren Murthy, Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter, which claims priority to provisional application U.S. Serial No. 60/070,411 filed in the United States Patent and Trademark Office on January 5, 1998, by Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy, and Chantal Lackey, and in all Letters Patent of the United States of America and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuation, continuation-in-part, renewals, reissue or other applications based in whole or in part thereon. And we agree, for ourselves and our executors and administrators, with said corporation and its successors and assigns but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and in all other countries to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.



Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed January 5, 1999  
ASSIGNMENT

And we do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said corporation, its successors and assigns.

WITNESS my hand and seal this 1<sup>ST</sup> day of March, 1999.

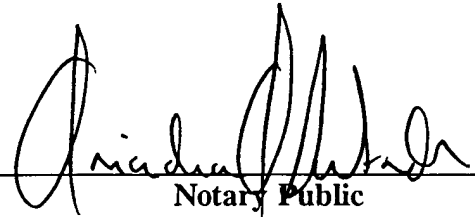


Allan S. Hoffman

STATE OF WASHINGTON       )  
  ) SS.  
COUNTY OF KING        )




Then personally appeared the above named Allan S. Hoffman and acknowledged the foregoing instrument to be his free act and deed, before me, this 1 day of March, 1999.

  
Notary Public

My Commission expires: Nov 8, 2000

**Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"**  
**By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,**  
**Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter**  
**U.S.S.N.: 09/226,044**  
**Filed January 5, 1999**  
**ASSIGNMENT**

WITNESS my hand and seal this 26 day of March, 1999.

  
Patrick Stayton

**STATE OF WASHINGTON**           )  
   )   **ss.**  
**COUNTY OF**                         )

Then personally appeared the above named Patrick Stayton and acknowledged the foregoing instrument to be his free act and deed, before me, this 26 day of March, 1999.


Notary Public

My Commission expires: Nov 8, 2000



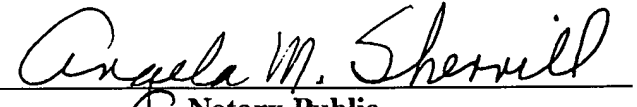
Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed January 5, 1999  
ASSIGNMENT

WITNESS my hand and seal this 23<sup>rd</sup> day of February, 1999.

  
\_\_\_\_\_  
Oliver W. Press

STATE OF WASHINGTON )  
COUNTY OF King ) ss.

Then personally appeared the above named Oliver W. Press and acknowledged the foregoing instrument to be his free act and deed, before me, this 23<sup>rd</sup> day of February, 1999.

  
\_\_\_\_\_  
Notary Public

My Commission expires: May 1, 2002

Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed January 5, 1999  
ASSIGNMENT

WITNESS my hand and seal this \_\_\_\_\_ day of 3-2, 1999.

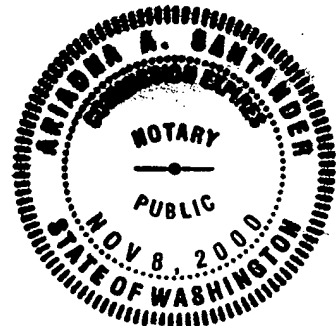
Niren Murthy  
Niren Murthy

STATE OF WASHINGTON )  
 ) SS.  
COUNTY OF \_\_\_\_\_ )

Then personally appeared the above named Niren Murthy and acknowledged the foregoing instrument to be his/her free act and deed, before me, this 2 day of March, 1999.

Ariadna A. Santander  
Notary Public

My Commission expires: Nov 8, 2000



Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed January 5, 1999  
ASSIGNMENT

WITNESS my hand and seal this 9 day of February, 1999.

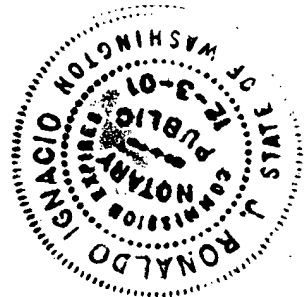
Chantal Lackey  
Chantal Lackey

STATE OF WASHINGTON )  
 ) ss.  
COUNTY OF KING )

Then personally appeared the above named Chantal Lackey and acknowledged the foregoing instrument to be ~~his~~/her free act and deed, before me, this 9<sup>th</sup> day of FEBRUARY, 1999.

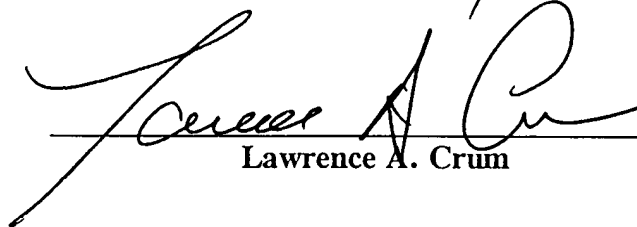
J. Ronaldo Ignacio J. RONALDO IGNACIO  
Notary Public in & for the  
State of WA.

My Commission expires: 12-03-01



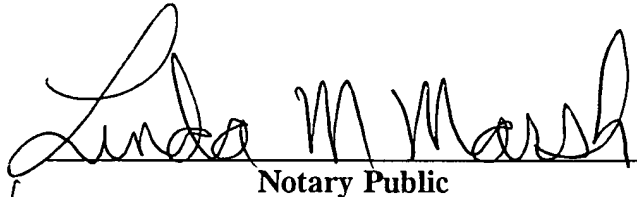
Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed January 5, 1999  
ASSIGNMENT

WITNESS my hand and seal this 3rd day of February, 1999.

  
\_\_\_\_\_  
Lawrence A. Crum

STATE OF WASHINGTON )  
COUNTY OF KING ) ss.

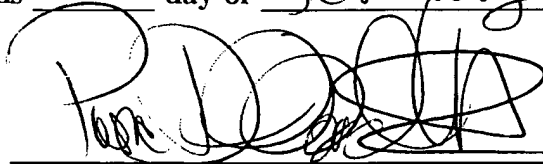
Then personally appeared the above named Lawrence A. Crum and acknowledged  
the foregoing instrument to be his free act and deed, before me, this 3RD day of  
Feb, 1999.

  
\_\_\_\_\_  
Notary Public

My Commission expires: 10/28/01

Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed January 5, 1999  
ASSIGNMENT

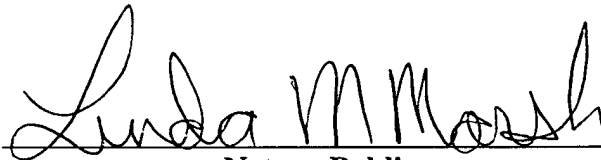
WITNESS my hand and seal this 3<sup>rd</sup> day of February, 1999.



Pierre D. Mourad

STATE OF WASHINGTON )  
COUNTY OF KING ) ss.

Then personally appeared the above named Pierre D. Mourad and acknowledged the foregoing instrument to be his free act and deed, before me, this 3<sup>RD</sup> day of Feb, 1999.

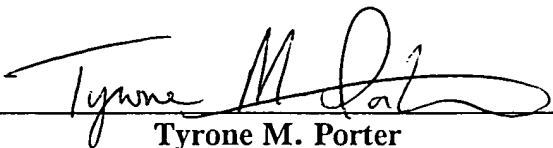


Notary Public

My Commission expires: 10/28/01

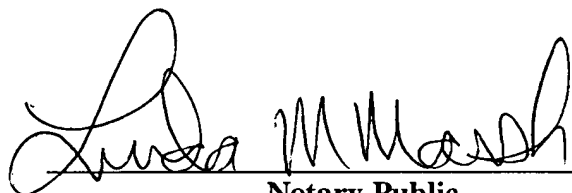
Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed January 5, 1999  
ASSIGNMENT

WITNESS my hand and seal this 8<sup>th</sup> day of February, 1999.

  
Tyrone M. Porter

STATE OF WASHINGTON )  
COUNTY OF KING ) ss.

Then personally appeared the above named Tyrone M. Porter and acknowledged the foregoing instrument to be his free act and deed, before me, this 8<sup>th</sup> day of February, 1999.

  
Notary Public

My Commission expires: 10/28/01





# DECLARATION FOR PATENT APPLICATION

As a below ~~named~~ inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below), or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS**

the specification of which (check one)

\_\_\_ is attached hereto

☒ was filed on January 5, 1999  
as application Serial No. 09/226,044

\_\_\_ and was amended on: \_\_\_\_\_  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority  
Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number

Filing Date

60/070,411  
(Number)

5/1/98  
(Day/Month/Year Filed)

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Day/Month/Year Filed)

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Day/Month/Year Filed)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of the application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)

(Filing Date)

Status  
(patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

Status  
(patented, pending, abandoned)

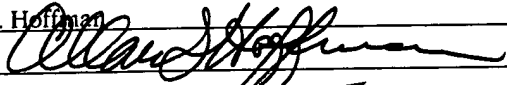
As named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Patrea L. Pabst	31,284
Collen A. Beard	38,824
Robert A. Hodges	41,074
Kevin W. King	42,737

Send Correspondence to: Patrea L. Pabst, Esq.  
ARNALL GOLDEN & GREGORY LLP  
2800 One Atlantic Center  
1201 W. Peachtree Street  
Atlanta, GA 30309-3450

Direct telephone calls to: Patrea L. Pabst (404) 873-8794

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Allan S. Hoffman  
Inventor's signature  Date 3/1/99  
Residence 7503 58th Avenue NE, Seattle, Washington 98105-9815  
Citizenship U.S.  
Post Office Address Same

Full name of sole or first inventor Patrick Stayton  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 8344 25th Avenue, N.W., Seattle, Washington 98117  
Citizenship U.S.  
Post Office Address Same

Full name of sole or first inventor Oliver W. Press  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 11018 Exeter Avenue, N.E., Seattle, Washington 98125  
Citizenship U.S.  
Post Office Address Same

(Application Serial No.)

(Filing Date)

Status  
(patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

Status  
(patented, pending, abandoned)

As named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Patrea L. Pabst	31,284
Collen A. Beard	38,824
Robert A. Hodges	41,074
Kevin W. King	42,737

Send Correspondence to: Patrea L. Pabst, Esq.  
ARNALL GOLDEN & GREGORY LLP  
2800 One Atlantic Center  
1201 W. Peachtree Street  
Atlanta, GA 30309-3450

Direct telephone calls to: Patrea L. Pabst (404) 873-8794

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Allan S. Hoffman

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 4528 West Laurel Drive, N.E., Seattle, Washington 98105

Citizenship U.S.

Post Office Address Same

Full name of sole or first inventor Patrick Stayton

Inventor's signature *Patrick Stayton* Date 3/26/99

Residence 8344 25<sup>th</sup> Avenue, N.W., Seattle, Washington 98117

Citizenship U.S.

Post Office Address Same

Full name of sole or first inventor Oliver W. Press

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 11018 Exeter Avenue, N.E., Seattle, Washington 98125

Citizenship U.S.

Post Office Address Same

(Application Serial No.)

(Filing Date)

Status  
(patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

Status  
(patented, pending, abandoned)

As named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Patrea L. Pabst	31,284
Collen A. Beard	38,824
Robert A. Hodges	41,074
Kevin W. King	42,737

Send Correspondence to: Patrea L. Pabst, Esq.  
ARNALL GOLDEN & GREGORY LLP  
2800 One Atlantic Center  
1201 W. Peachtree Street  
Atlanta, GA 30309-3450

Direct telephone calls to: Patrea L. Pabst (404) 873-8794

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Allan S. Hoffman

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 4528 West Laurel Drive, N.E., Seattle, Washington 98105

Citizenship U.S.

Post Office Address Same

Full name of sole or first inventor Patrick Stayton

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 8344 25th Avenue, N.W., Seattle, Washington 98117

Citizenship U.S.

Post Office Address Same

Full name of sole or first inventor Oliver W. Press

Inventor's signature  Date 2/4/99

Residence 11018 Exeter Avenue, N.E., Seattle, Washington 98125

Citizenship U.S.

Post Office Address Same

Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed: January 5, 1999  
DECLARATION



Full name of sole or first inventor David Tirrell  
Inventor's signature *David Tirrell* Date 3/2/99  
Residence 714 Arden Road, Pasadena, CA 91106  
Citizenship United States of America  
Post Office Address 714 Arden Road, Pasadena, CA 91106

Full name of sole or first inventor Niren Murthy  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 3801 Brooklyn Avenue, Apt. 14100, Seattle, Washington 98105  
Citizenship United States of America  
Post Office Address 3801 Brooklyn Avenue, Apt. 14100, Seattle, Washington 98105

Full name of sole or first inventor Chantal Lackey  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 8809 23<sup>rd</sup> Avenue, N.E., Apt. 3, Seattle, Washington 98118  
Citizenship United States of America  
Post Office Address 8809 23<sup>rd</sup> Avenue, N.E., Apt. 3, Seattle, Washington 98118

Full name of sole or first inventor Lawrence A. Crum  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 4662 175<sup>th</sup> Ave SE, Bellevue, WA 98006  
Citizenship United States of America  
Post Office Address 4662 175<sup>th</sup> Ave SE, Bellevue, WA 98006

Full name of sole or first inventor Pierre D. Mourad  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 109 N.W. 49<sup>th</sup> Street, Seattle, Washington 98107  
Citizenship United States of America  
Post Office Address 109 N.W. 49<sup>th</sup> Street, Seattle, Washington 98107

Full name of sole or first inventor Tyrone M. Porter  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 4733 17<sup>th</sup> Ave NE, Apt. 26, Seattle, WA 98105  
Citizenship United States of America  
Post Office Address 4733 17<sup>th</sup> Ave NE, Apt. 26, Seattle, WA 98105

Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed: January 5, 1999  
DECLARATION



Full name of sole or first inventor David Tirrell  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 714 Arden Road, Pasadena, CA 91106  
Citizenship United States of America  
Post Office Address 714 Arden Road, Pasadena, CA 91106

Full name of sole or first inventor Niren Murthy  
Inventor's signature Niren Murthy Date 3-2-99  
Residence 3801 Brooklyn Avenue, Apt. L4100, Seattle, Washington 98105  
Citizenship United States of America  
Post Office Address 3801 Brooklyn Avenue, Apt. L4100, Seattle, Washington 98105

Full name of sole or first inventor Chantal Lackey  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 8809 23rd Avenue, N.E., Apt. 3, Seattle, Washington 98118  
Citizenship United States of America  
Post Office Address 8809 23rd Avenue, N.E., Apt. 3, Seattle, Washington 98118

Full name of sole or first inventor Lawrence A. Crum  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 4662 175th Ave SE, Bellevue, WA 98006  
Citizenship United States of America  
Post Office Address 4662 175th Ave SE, Bellevue, WA 98006

Full name of sole or first inventor Pierre D. Mourad  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 109 N.W. 49th Street, Seattle, Washington 98107  
Citizenship United States of America  
Post Office Address 109 N.W. 49th Street, Seattle, Washington 98107

Full name of sole or first inventor Tyrone M. Porter  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 4733 17th Ave NE, Apt. 26, Seattle, WA 98105  
Citizenship United States of America  
Post Office Address 4733 17th Ave NE, Apt. 26, Seattle, WA 98105

Full name of sole or first inventor David Tirrell  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 714 Arden Road, Pasadena, CA 91106  
Citizenship U.S.  
Post Office Address Same

Full name of sole or first inventor Niren Murthy  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 3801 Brooklyn Avenue, Apt. L4100, Seattle, Washington 98105  
Citizenship U.S.  
Post Office Address Same

Full name of sole or first inventor Chantal Lackey  
Inventor's signature Chantal Lackey Date 2/16/99  
Residence 8809 23<sup>rd</sup> Avenue, N.E., Apt. 3, Seattle, Washington 98118  
Citizenship U.S.  
Post Office Address Same

Full name of sole or first inventor Lawrence A. Crum  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 4662 175<sup>th</sup> Ave SE, Issaquah, WA 98027  
Citizenship U.S.  
Post Office Address same

Full name of sole or first inventor Pierre D. Mourad  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 109 N.W. 49<sup>th</sup> Street, Seattle, Washington 98107  
Citizenship U.S.  
Post Office Address Same

Full name of sole or first inventor Tyrone M. Porter  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 4733 17<sup>th</sup> Ave NE, Apt. 26, Seattle, WA 98105  
Citizenship U.S.  
Post Office Address same



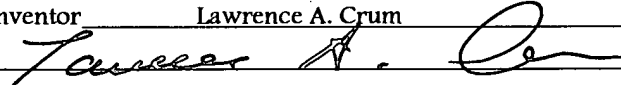
Title: "ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"  
By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,  
Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter  
U.S.S.N.: 09/226,044  
Filed: January 5, 1999  
DECLARATION

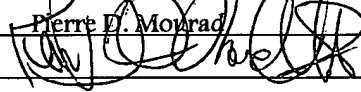


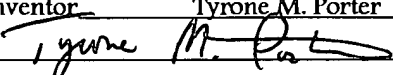
Full name of sole or first inventor David Tirrell  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 714 Arden Road, Pasadena, CA 91106  
Citizenship United States of America  
Post Office Address 714 Arden Road, Pasadena, CA 91106

Full name of sole or first inventor Niren Murthy  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 3801 Brooklyn Avenue, Apt. L4100, Seattle, Washington 98105  
Citizenship United States of America  
Post Office Address 3801 Brooklyn Avenue, Apt. L4100, Seattle, Washington 98105

Full name of sole or first inventor Chantal Lackey  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 8809 23rd Avenue, N.E., Apt. 3, Seattle, Washington 98118  
Citizenship United States of America  
Post Office Address 8809 23rd Avenue, N.E., Apt. 3, Seattle, Washington 98118

Full name of sole or first inventor Lawrence A. Crum  
Inventor's signature  Date 2/23/99  
Residence 4662 175th Ave SE, Bellevue, WA 98006  
Citizenship United States of America  
Post Office Address 4662 175th Ave SE, Bellevue, WA 98006

Full name of sole or first inventor Pierre D. Mourad  
Inventor's signature  Date 2/23/99  
Residence 109 N.W. 49th Street, Seattle, Washington 98107  
Citizenship United States of America  
Post Office Address 109 N.W. 49th Street, Seattle, Washington 98107

Full name of sole or first inventor Tyrone M. Porter  
Inventor's signature  Date 2/23/99  
Residence 4733 17th Ave NE, Apt. 26, Seattle, WA 98105  
Citizenship United States of America  
Post Office Address 4733 17th Ave NE, Apt. 26, Seattle, WA 98105





IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy, Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter

Attorney's Docket No.: UWS 102

Serial No.: 09/226,044

Filed: January 5, 1999

For: *ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS*

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. §§ 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: University of Washington

ADDRESS OF ORGANIZATION: 1107 N.E. 45<sup>th</sup> Street  
Seattle, Washington 98105-4631

TYPE OF ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE  
(26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE  
OF STATE OF THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE  
SERVICE CODE (26 USC 501(a) and 501(c)(3) IF LOCATED  
IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL  
UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
IF LOCATED IN THE UNITED STATES OF AMERICA

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled "*Enhanced Transport Using Membrane Disruptive Agents*" by Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy, Chantal Lackey, Lawrence A. Crum, Pierre D. Mourad, and Tyrone M. Porter, described in

**"ENHANCED TRANSPORT USING MEMBRANE DISRUPTIVE AGENTS"**

By: Allan S. Hoffman, Patrick Stayton, Oliver Press, David Tirrell, Niren Murthy,

Chantal Lackey, Lawrence A. Cruun, Pierre D. Mourad, and Tyrone M. Porter

U.S.S.N.: 09/226,044

Filed: January 5, 1999

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS

☐ the specification filed herewith.

☒ application serial no. 09/226,044, filed January 5, 1999.

☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. § 1.27).

NAME University of Massachusetts

ADDRESS: 18 Tremont Street  
Suite 800  
Boston, Massachusetts 02108

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORG.


I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:  Karen L. Deyerle, Ph.D.

TITLE OF PERSON OTHER THAN OWNER: Technology Manager, Health Sciences

ADDRESS OF PERSON SIGNING: 1107 NE 45th St., Suite 200 Seattle, WA 98105-4631

 March 26, 1999  
SIGNATURE DATE